FAQ- Trading Supported by Block Mechanism

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A. FAQ on *"Registration of Client for UPI Facility"*

B. FAQ on *"Operating Guidelines of UPI Facility"*

C. FAQ on *"UAT & Production Testing of UPI Facility"*

A. FAQ on Registration of Client for UPI Facility

1. Which categories of investors are allowed to register for the UPI facility?

Ans. UPI facility can be extended only to resident individuals and Hindu Undivided Families (HUFs) who settle their trades with their respective TMs. If such investors have appointed a Custodian clearing member to clear their trades, they shall not be eligible to avail this Facility.

2. Who will provide the UCC registration and deregistration facility to members and what details are required by the members while registering UCC?

Ans. Exchanges shall provide a mechanism in the UCC database to the clients who wish to enrol for the said Facility. At the time of registration, the TM shall be required to provide one primary bank and demat account of the client. Funds and securities pay-out of the client, if any, will be provided by the CC in the primary bank and primary demat account respectively. Exchanges shall also provide a mechanism for maintenance of additional bank accounts for the registered client. The client may create Unified Payments Interface (UPI) block in favour of the CC using any or all among the primary or additional bank accounts maintained. Currently only two customer banks are available for UPIX- ICICI & HDFC Providing any other bank would result in rejection of UCC registration.

3. Is PAN mandatory to avail the UPI facility?

Ans. PAN shall be mandatory for availing the facility. Exchange along with NPCI shall verify the PAN maintained in the UCC database with the PAN of the first holder with the bank where the client's account is held (for primary as well as additional accounts).

Accounts wherein PAN details are not available with the banks/ depository's accounts cannot be registered and would not be able avail the facility.

4. How to register and deregister UCC in Production environment?

Ans. This functionality is available in NSE's UCI portal. Member can refer following circulars to get the clarity on operational point of view **NSE/ISC/59004**, **NSE/ISC/59712**, **NSE/ISC/59983**. Alternatively, member can drop an email to uci@nse.co.in for any query regarding UCC registration and de-registration in production.

5. What will be the TAT for the UCC registration and deregistration?

Ans. Once the notification for successful registration/deregistration is provided via CC API to members, the same is effective on next working day i.e. If member gets successful notification of registration of a UCC code from Clearing Corporation on August 13th 2024, the UCC will be tagged as UPIX client effective trade date August 14th 2024.

6. As per circular: "Registration and de-registration requests received by 21:00 hours on a "T" day and subject to successful validation will be effected from T+2 day (BOD). In case of registration request, the trades done on account of the client on "T" as well as "T+1" will be settled as per the prevalent process, while trades done on "T+2" day will be settled under the Facility. Similarly, in case of de-registration, trades done on "T" and "T+1" will be settled under the Facility and the trades done on "T+2" will be settled as per the prevailing regular process. Requests received after 21:00 will be effected from "T+3" day, subject to successful validation. The de-registration requests shall also be subject to CC approval.:" Does this timeline still hold true?

Ans. Please note that once successful registration/deregistration notification is received by member vide API from CC, the applicability will be effective the next trading day. Deregistration request will mandate CC validation as well. i.e. If member gets successful notification of registration of a UCC code from Clearing Corporation on August 13th 2024, the UCC will be tagged as UPIX client effective trade date August 14th 2024.

7. What are the deregistration conditions should be set by the TM's end?

Ans. Before deregistration of UCC, TM must check whether any outstanding obligation is there with UCC or not.

B. FAQs on Operating Guidelines of UPI Facility

1. Where will we get the details of operational functionality of UPI block mechanism?

Ans. Member can refer circular NCL/CMPT/58895. For any queries regarding UAT, member can drop an email to UPIX_Testing@nse.co.in and for queries regarding Production can be emailed to api_tsba@nsccl.co.in

2. How to engage with Sponsor bank to create a UPI block in favor of the CC?

Ans. The CC shall appoint one or more sponsor banks for the purpose of integration with the UPI platform. The CC shall provide the virtual payment address(es) (VPAs) of the accounts maintained with the sponsor bank. Currently we have HDFC Bank ICICI Bank and Yesbank as Sponsor banks.

3. How will the CC receive the receipt of successful UPI block creation in the system?

Ans. Upon successful block creation in the UPI system and receipt of such information from the respective sponsor bank, the CC shall add the block as collateral. The CC shall intimate addition of the block, using application program interface (API) specification provided by CC, to the TM as well as the CM of the TM. The TM will confirm successful creation of the block to the client. In case of any failures during block creation, the same shall also be intimated to the TM/CM, with appropriate response codes as received from UPI/Sponsor bank. Member can refer circular CMPT 58895 Annexure 1, clause 15.

4. How to get the details of block creation?

Ans. The details of block created can be fetched by inquiring below NCL API: -
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockcreate

5. How to get the details of block release?

Ans. The details of block release can be fetched by inquiring below NCL API: -
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockrelease

6. How to get the details of UCC registration and deregistration?

Ans. The details of UCC registration and deregistration can be availed by inquiring below NCL API: https://www.connect2nsccl.com/memgw/rest/v1/inquire/regdereg

7. What are the parameters of collateral management in UPI facility?

Ans. Clients registered for the facility shall be permitted to provide collateral only in the form of UPI block, or Group I equity shares from the approved list of securities published by the CC. Collateral provided through UPI block shall be treated as cash-equivalent collateral without any haircut. The CMs shall not be permitted to allocate any collateral to the clients using the UPI facility. The CC shall calculate the value of collateral for UPI clients by considering the amount of UPI block and value of re-pledged securities.

8. What is the prudential limit for acceptance of collateral for securities?

Ans. Suppose a client has pledged stock A to an SCM who has onward repledged it to the CC. However, the prudential limit (member-wise or overall) for stock A is exhausted, therefore no benefit is provided against repledged securities.

The member is not allowed to allocate collateral since the client is using the Facility. In such a case, the member will be permitted to execute trades on behalf of the client to the extent of UPI block plus value of repledged securities.

If the margin exceeds the amount of UPI block available, the same will be blocked from the proprietary collateral of the member. Although repledged securities are not available towards margin requirements, CC will consider their value while calculating short allocation.

If the minimum margin collection requirement does not exceed the value of UPI block and repledged securities, the same shall not be considered as short allocation.

9. Will member have an opportunity to do short reporting in case of short allocation?

Ans. In case of short allocation, members shall have an opportunity to report amount of client collateral available against such segment wise short allocation only due to below mentioned reasons (other reasons cannot be reported for clients using the Facility):

Reason Code	Particulars
02	Value of securities sold for which EPI has been done by end of day to CC
03	Trades executed in wrong client code codes (Applicable only for intra-day shortfall where snapshot field is other than E)
05	UPI block successfully created however accepted later (Applicable only for intra-day shortfall where snapshot field is other than E)
06	Securities are repledged by CM to CC in the depository but not yet processed by CC. (Applicable only for intraday shortfall where snapshot field is other than E)
08*	Credit in lieu of successful early pay-in of securities to CC

*The reason code "08" shall be available only for the clients using the Facility and shall not be available to other clients.

10. What are the parameters of risk management involve in the UPI Facility?

Ans. In the prevailing framework, client collateral (comprising of allocation and value of repledged securities) is assessed against the client margins. For clients using the Facility, client level collateral shall be considered as (including value of UPI Block and group I securities provided by client that are re-pledged to CC). There shall be no change in rest of the risk management procedures. CCs shall put in place appropriate systems so that the UPI block can be utilized towards margin requirements as well as pay-in requirements.

- Considering all the cash market positions to be settled on net basis (e.g., normal market, SME market), a single net funds obligation will be arrived at for client.
- Considering all the cash market positions to be settled on gross basis (e.g., trade for trade securities), if any, one pay-in obligation for gross settlement and/or one

pay-out obligation for gross settlement will be arrived at for each direct clearing client.

- If the funds obligation for net settlement is a pay-in obligation, the same can be set off against funds pay-out for the gross settlement. Conversely, if the funds obligation for net settlement is a pay-out obligation, the same can be set off against the funds pay-in for the gross settlement.
- There will be no set off between the pay-in and pay-out transactions for gross settlement.

There will be no set off across clients who have opted for the Facility.

11. Where will we get the details of EOD reports for UPI block mechanism?

Ans. Please check the below mentioned details and for more brief details kindly Refer following circular NCL/CMPT/59361 and NCL/CMPT/60704.

Format of reports is given in Annexure to this circular.

Sr No.	Report Name
1	Clients Final Obligation Report (DCFOBG)
2	Clients Funds Obligation Report (DCFUNDSOBG)
3	Clients Securities Obligations Report (DCSECOBG)
4	Clients Funds Debit Report (DCDEBIT)
5	Clients Funds Shortage Report (DCFSHRT)
6	Clients Securities Shortage Report (DCSSHRT)
7	Client Auction Square off Report (DCASQR)
8	Clients Allocation Details (DCCADT)
9	Client Funds Pay-out Rejection Report (DCREJECT)
10	EPI Reversal In UPI Client Account (DCEPIREV)
11	Trading member wise UPI client wise obligation (DCDEPO)
12	Client Outstanding Shortages Report (DCSHRT).
13	Tm charges report (TMCHARGES).

12. What is the TM charges functionality?

Ans. Following options shall be available for the member for collection of charges other than trade obligations, stamp duty and STT.

- Option 1: Collect the charges directly from the client.
- Option 2: Collect the charges using an optional mechanism provided by CC.

The features of aforementioned optional mechanism (Option 2) shall be as under:

- TM charges will not be debited if not specified by the TM.
- The charges will be expressed as a percentage of gross turnover, which shall be specified by the TM. On an ongoing basis, the charges may be modified by the TM only once per quarter (CC will soon be modifying the periodicity to once per month)
- Since the mechanism provides for a fixed percentage, even if the mechanism is used, the TM may request for payment of any additional charges (or reverse any additional charges) to/from the clients beyond the Facility, as per the charges agreed with the client.
- The charges shall be inclusive of brokerage as well all other fees and levies (except STT/stamp duty) that the TM wishes to recover from the client. The CC shall debit UPI blocks to the extent of obligation arising out of purchase/sale of securities, STT, stamp duty and TM charges.
- TM charges applicable for a client for a given day will be calculated and adjusted from pay-out due to the client or debited from UPI block to the extent of availability. In case of such charges exceeding the pay-out for the client and/or available UPI blocking after debit of settlement obligations, there will be no devolvement of such dues to the CM of the TM, unlike the case of regular pay-in obligations. However, the same will be reflected in funds shortage amount for the client and the same may be recovered any time in future, except de-registration of client, change of CM by TM, change of CC by CM etc.
- The TM charges will be debited if and only if the block amount after debit of settlement obligations will be sufficient to adjust such dues. In other words, the settlement of client-level obligations arising out of trades, STT and stamp duty will take priority over TM charges. The TM charges collected from the clients will be paid out to the CM of respective TMs along with the pay-out.

For more information Kindly refer following circular: - **NCL/CMPT/59852**. In that below points are covered:

Annexure I	Format of letter for trading member charges for clients opted for trading supported by blocked amount.
Annexure II	File format for providing actual charges on daily basis by trading member to clearing corporation.

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Annexure III	Tm charges report (TMCHARGES).

If Annexure I is not submitted to CC, then CC will be not accepting the TM Charges request.

13. How can the member collect charges which are not included in Contract Note?

Ans The Member can include "any contract note or non-contract note charges other than 'obligations + STT + stamp duty'" in the actual charges being uploaded by him in Annexure II (detailed in Point 12 above) in the TM Charges facility. The CC shall accordingly collect the same from Client.

If the Member opts for option 1 as specified in the Question 12, in that case he can collect charges directly from client. In case of any excess charges to be collected beyond the specified amount in Option 2, the Member can directly collect from the client. It is pertinent to note that Settlement obligations should not be collected directly from client.

14. By what time EOD settlement files will be received by Trading Members from the CC?

Ans. EPI of securities cut off time which is 8 PM. Settlement reports are downloaded by around 9 PM to 9:30 PM depending upon receipt of EPI files from depositories. TM Charges and UPI collection reports are downloaded between 9:30 PM to 10:30 PM post receipt of response from client's bank for UPI messages.

15. Where will EOD settlement files available on extranet?

Ans. Files are made available in existing folder of extranet for Cash Market reports. Extranet member portal "CM" Reports folder.

16. Will there be any report which will disclose the client's residual outstanding obligation debited from Trading Member's pool account?

Ans. Clearing corporation downloads the following reports to members: -

- Funds obligation at client level (DCFUNDSOBG)
- Amount debited towards settlement obligation (DCDEBIT),

- Shortage Report (DCFSHRT)
- Brokerage collected (TMCHARGES).

17. What is the block maturity period as per the operation guidelines?

Ans. The block created in favour of CC shall be with an expiry of 30 years from the date of creation.

18. What are the multiple responses of block status?

Ans. Below are the responses for block status that the member shall receive.

Codes	Status	Remarks	RC codes **
V	Valid	The block is created and is a valid block	100
F	Failed	Message from Sponsor Bank that the block creation has failed.	RC code may vary depending upon values received from sponsor bank
R	Released	The Block has been released successfully	100
X	Auto Released	The block has been auto released by NCL due to invalid UCC data fields (account, UCC, TM code etc)	100
M	Matured	The Block has been Matured	100
U	Used	The Valid Block which has been debited and used up.	RC code may vary depending upon values received from sponsor bank
H *	On Hold	Status when NCL has put the block on hold	100
B	Valid Blackout	When Clearing and Settlement cycle is in progress and mandate / block creation is received at clearing corporation from the bank then status of that block will be "B". Once	100

		cycle is over then status will be changed to "V".	

**RC codes is not generated by NCL, the values received from Sponsor bank is onwards provided in NCL API.*

* Status H is currently not applicable, as NCL will be providing the status as "B"*

19. **We would like to understand on the percentage to be specified for availing the facility, since we have variation in percentage based on the customer profile. There is no fixed % of commission as of now?**

Ans. The Fixed percentage needs to be communicated and decided at the member level. The CC can only facilitate collection of the same. Refer circular no. **CMPT59852**.

20. **How will CC share the amount debited from or credited to TM Pool account? This report is required to avoid excess debit/credit by TM to client for recovering obligations.**

Ans. The same will be provided in existing **DFND/DFNS** reports.

21. **In DCDEBIT file, CC will share the amount debited for today's obligation only or for previous obligations also? E.g. Suppose client has an outstanding obligation of Rs. 100. Now, client creates a fresh block of Rs. 130. In this case, CC will debit Rs. 100 from the block and Rs. 30 will be available as allocation. Later, client can buy shares worth Rs. 30. At EOD, in DCDEBIT file, the amount debited value will be Rs. 130 or Rs. 30?**

Ans. DCDEBIT will contain only debits done on that day, i.e. **Rs 130** done on that day.

22. **For any amount to be credited in client's bank account, how will CC inform TM that amount has been credited successfully to client's bank account?**

Ans. Currently the obligation is provided in Client fund obligation report and if there is any shortage the same is populated in **DCREJECT** File (Client Fund Payout reject report). Both these reports when referred together will confirm on successful credits to client's bank account. Further the CC is also working on providing a DC Credit file providing information on Successful credits to clients.

23. **As confirmed by CC, for in case client has Net sell obligations, then (STT, Stamp Duty, TM Charges) will be deducted from amount to be credited to client's bank account. Will these charges deducted from the client's payout be displayed under DCDEBIT file?**

Ans. STT and Stamp duty will be provided in Client Fund Obligation **(DCFUNDSOBG)** report only and not in **DCDEBIT** file. **DCDEBIT** file contains only amount debited from UPI block.

24. **Who will generate ReqId while initiating block release request?**

Ans. Trading Member.

25. **If a particular UCC wishes to deregister from UPI ASBA functionality and wants to trade in MTF or Derivatives, then what will happen to the access held in favor of NCL for the requested UCC. Does NCL automatically release the funds, or customer need to release the funds first and then only customers can moveout of UPI ASBA.**

Ans. If UCC wants to deregister from UPI ASBA functionality, then UCC should have to inform its TM and TM must check on the outstanding obligation. If there is any obligation, then TM must inform UCC to get settled the obligation first. Once obligation is settled, TM can initiate the further block release and send request to CC. Post receiving block release request from TM, CC shall check for outstanding obligation of that requested UCC. If there is no outstanding obligation, CC will send request to its Sponsor bank to release the block for the requested UCC and accordingly Sponsor bank will release the block and send confirmation to NPCI and then NPCI will send notification to UCCs remitter Bank.

26. Will a joint bank account be allowed for UPI block creation?

Ans. Yes.

27. If TM changes the UCC status via API, does the TM still needs to send the update to CC via file? By what time will the request be considered for the same day change in status if the TM sends it via API?

Ans. No. The TM changes the UCC status at the Exchange via Frontend (UCI online) / Bulk upload / API. The TM is not supposed to intimate anything to the CC directly. The Exchange will communicate the details to CC in the set framework. On receipt of successful notification from CC, the member can consider the status updated effectively for next trade date.

28. In case of funds shortage, how much qty of will be transferred to CUSPA? Does this mean in case client has bought 100qty worth 50 each. And if client has shortage obligation of 150. In this case entire 100qty will me marked to CUSPA?

Ans. Entire Quantity. In   this case, entire 100 qty will be transferred to CUSPA.

29. Will the stock move to CUSPA in case of TM charges shortage?

Ans. No, because TM charges are not part of obligation.

30. Who will unpledged CUSPA or release shares from CUSPA in case funds are added?

Ans. Clearing member.

31. How the funds shortage will be recovered? By selling CUSPA shares on invocation or by selling any security other than CUSPA shares? Also, once the shortage is recovered, how will the CUSPA share be unpledged?

Ans. As per the Clearing member policy.

32. In case of actual charge > % defined, how will TM recover the extra charge?

Ans. CC will consider lower value by comparing Actual and Fixed charges. For e.g. If TM actual charges are Rs. 10 and charges as per Fixed percentage is Rs. 5, then CC share consider Rs. 5 as TM charges. The TM would need to collect the difference directly from client.

33. **In case TM has not provided the brokerage & charges file by 6 pm on T date, then CC will recover the charges from client basis the fixed % specified by TM.**

Ans. Yes.

34. **In case TM missed to upload the actual charges file, and charges the UCC excess by the % method, how the excess charges will be refunded?**

Ans. The TM would need to refund the same directly to client.

35. **Example, CC has blocked Rs. 10 TM charges basis fixed % as TM did not provide brokerage & charges file in time. Later, TM claims only Rs. 8 as brokerage & charges. In case CC gives full Rs. 10 to TM against actual charge of Rs. 8, how should TM return the said Rs. 2 to the client?**

Ans. In this case, TM will return Rs. 2 to their client directly.

36. **While releasing a UPI block, if UCC does not mention the amount, will the CC be check for the obligation before releasing the block to avoid risk?**

Ans. Yes, both CC and TM should have to check for outstanding obligation before releasing the block.

37. **DCFUNDSOBG**: What is the difference between Net, Gross and Final payin amount.

Ans. There are four types of cash settlement **M – Normal trade**, **Z - Trade for trade**, **B – IT series**, **A- Auction.**

    a. Net payin includes Type M-Normal trade obligation details
    b. Gross payin includes Type Z, B, A trade obligation details, where these obligations are not settled on netted basis. The Trade for trade securities obligation can be reflected in the settlement type "Z"
    c. Final payin includes consolidated payin detail.

38. Will the Net payin amount also include TM charges or just the trade value?

Ans. No, it doesn't include TM charges. As mentioned in circular, TM charges are not part of the obligation. Only STT and Stamp duty charges are part of the obligation and are included in the obligation amount.

39. In the new obligation file, will the amount given to TM as charges be configured?

Ans. Yes, TM charges shall be included in the Funds Obligation Report.

Filename (for CM): C_<membercode>_DCFUNDSOBG_<ddmmyyyy>.csv
Filename (for TM): C_<membercode>_T_DCFUNDSOBG_<ddmmyyyy>.csv

40. What will be the timings of all the reports?

Ans. EPI of securities cut off time which is 20.00. Settlement reports are downloaded by around 21.00 to 21:30 depending upon receipt of EPI files from depositories. TM Charges and UPI collection reports are downloaded between 21:30 to 22:30 post receipt of response from client's bank for UPI messages.

41. We will need a report at the EOD that would mention the shortage recovered on a client basis. Deriving this number from blockdebitlist API is not possible as the shortage might get recovered from the selling of securities as well. If we derive the shortage amount by multiple reports, we will still need a number to recon the value.

Ans. Currently CC is sharing following reports to TM and CM: -

- **DCFUNDSOBG:** - For daily fund obligation.
- **DCFSHRT**: - For daily fund obligation shortage. • **DCSHRT: - For outstanding shortage report**
- **DCSECOBG**: - For daily security obligation.
- **DCASQR_R & DCASQR_D**: - For daily security obligation shortage.

42. Do we have any APIs available for the two use cases below –
   a. **Providing actual charges on a daily basis (Annexure 2 - NCL/CMPT/59852)**

b. **TM Charges Report (Annexure 3 - NCL/CMPT/59852)**

Ans. We do not have any specific API to get the charges details. As per circular: -
Annexure 2 - NCL/CMPT/59852.TM charges details are reported separately
via following files: -

o Filename (for CM):
C__TMCHARGES_<ddmmyyyy>.csv o Filename (for
TM): C__T_TMCHARGES_<ddmmyyyy>.csv

43. **If a UCC sells the stock from CDSL, which account will the money be
credited to, will it be the primary bank defined at CC or at CDSL? Also,
will the dividend go to the primary account defined at the CDSL end?**

Report Name	Nomenclature	Description
Client Fund Obligation Report (DCFUNDSOBG)	For TM: C_<membercode>_T_DCFUNDSOBG_<ddmmyyyy>.csv For CM: C_<membercode>_DCFUNDSOBG_<ddmmyyyy>.csv	This report includes Net settlement payin and payout, Gross settlement payin and payout and final payin and payout
Client Fund Shortage Report (DCFSHRT)	For TM: C_<membercode>_T_DCFSHRT_<ddmmyyyy>.csv For CM: C_<membercode>_DCFSHRT_<settypno>_<ddmmyyyy>.csv	This report includes payin transaction, Total amount debited and amount short
Client Securities Obligations Report (DCSECOBG)	For TM: C_<membercode>_T_DCSECOBG_<settypno>_<ddmmyyyy>.csv For CM: C_<membercode>_DCSECOBG_<settypno>_<ddmmyyyy>.csv	This report shall have details of Deliverable and Receivable

		Securities qty
Client Securities Shortage Report (DCSSHRT_R & DCSSHRT_D)	For TM: C_<membercode>_T_DCSSHRT_<R/D>_<settypno>_<ddmmyyyy>.csv For CM: C_<membercode>_DCSSHRT_<R/D>_<settypno>_<ddmmyyyy>.csv	This report shall contain shortage qty

Ans. If a UCC sells the stock from CDSL, then money will be credited to bank account which defined at across the exchange. Dividend payment part needs to be discussed with depositories in which the UCC is holding the shares.

44. **POST /rest/<version>/inquire/blockdebit, what are the different narration of the field "desc".**

Ans. "desc" field is defined by text string and there are no master available to define narrations. As of now we are sending below mentioned narrations in "desc" field.

- Debit successfully: -   Obligation 2024031315081
- Debit unsuccessfully: - Obligation shortage 2024031315081

45. **Will the TM charges shortages be maintained by the CC and will be recovered with further UPI blocks?**

    For example, UCC had 1L as UPI block. The total obligation is as follows:
    Buy Amount: 98,000, STT + Stamp duty: 1,500, TM charges: 700.
    Total obligation: 98,000 + 1,500 + 700 = 1,00,200.
    There is a Rs. 200 shortage that is from TM charges. Will Rs. 200 shortages be maintained by the CC and the same will be recovered by CC in next UPI block creation of selling of stock?

Ans. Yes, CC will recover the shortage of Rs.200 from new UPI block created by UCC.

46. There is no report on how much payout will be done to the client in their bank account when the client sells the stocks?

Ans. Kindly refer following circular CMPT59361 dated October 12, 2023.

47. There is no report on how much amount was paid to Trading Member i.e. charges and shortage recovery in case of stock sell.

Ans. Details of shortage and collection of TM charges are highlighted in separate file which is mentioned in circular **CMPT59852**, dated December 20, 2023 in **Annexure III**.

TM CHARGES REPORT (TMCHARGES)
File for CM: C_<memcode>_TMCHARGES_<ddmmyyyy>.csv
File for TM: C_<memcode>_T_TMCHARGES__<ddmmyyyy>.csv

Member can derive final obligations value of the stock purchase and stock sell with help of following report. Kindly refer following circular **CMPT59361,** dated November 13, 2023

Client final obligation report
C_<membercode>_T_DCFOBG_<settypno>_<ddmmyyyy>_.csv
(This report includes Security symbol, Buy volume, Sell volume, Buy amount, Sell amount)

Client Outstanding Shortages Report (DCSHRT) is additionally provided to track the outstanding shortages of the client.

48. What is the TAT for block creation and block release?

Ans. For the block release TAT would be: - 7.30 AM to 8.00 PM and there is no TAT for block creation. Block creation is allowed on Trading and settlement holiday as well.

49. Cut off time to give the details of brokerage and other tax values by the TM to the CC is around 5 pm - 5.30 pm, in case the time is not met due to delay in processing, what recourse is available to the TM?

Ans. TM Charges file is to be uploaded by 6 PM. If the same is not uploaded, then NCL shall compute charges based on the fixed percentage provided by member.

50. Once a client is activated for ASBA, no funds can be received from / paid to such client by TM directly. All fund transactions will be routed through CC only.

   Ans. Yes.

C. FAQs on UAT & production Testing of UPI Facility

1. Where will the member get the details of NCL endpoints?

Ans. Below mentioned NCL endpoints need to be whitelist at member's end.
   https://www.connect2nsccl.com/memgw/rest/v1/request/blockrelease
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockrelease
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockcreate
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockdebitlist
https://www.connect2nsccl.com/memgw/rest/v1/inquire/blockdebit
https://www.connect2nsccl.com/memgw/rest/v1/inquire/regdereg
https://www.connect2nsccl.com/memgw/rest/v1/inquire/segblockbal

   Further, below public Ips needs to be whitelisted at member's end:

   59.160.38.22, 125.22.48.65, 121.240.152.31, 182.79.28.159

2. What are the contact email ids for query/concerns regarding UAT and Production onboarding?

Ans. For any queries regarding UAT onboarding, member can drop an email to **UPIX_Testing@nse.co.in** and for any queries regarding Production onboarding you can drop an email to **api_tsba@nsccl.co.in**

3. How to register and deregister UCC in UAT environment?

Ans. NCL has a facility to register "UCC" on behalf of exchange in UAT environment, you can drop an email to **UPIX_Testing@nse.co.in.**Member needs to update details as mentioned in the format and send it over on mentioned email id.

Headers	Specification
UCC Segment	Remain same as "C"
TM Code	Your 5digits Trading member code.
UCC	UCC code (For testing purpose)
Mobile Number	Contact number of UCC
Email	Email id of UCC
Bank List	Bank details of UCC
DP List	DP details of UCC
Time stap	current system date
Auto send	Y

4. Any circular to refer Technical Specification of UPIX facility?

Ans. Kindly refer following circular NCL/CMPT/58896.

5. What are the different types of HTTP status codes?

Ans. All API's will respond with an HTTP status code. A status code of 200 would indicate successful execution of the API and the response body would be as defined in the API specification. In case of an error a HTTP status code other than 200 will be returned. The API may or may not return an error response JSON depending upon the type of error encountered.

Following are the HTTP status codes that could be returned by the APIs.

Status Code	Description	JSON Response
400	Indicates a Validation / Business logic error / Json parsing errors.	Yes
401	Indicates that the JWT token shared for authentication is invalid or expired.	Yes
404	Resource does not exist.	Yes
405	Method not allowed for the resource.	No
500	Any other application errors. Such errors are to be reported to the support desk.	Yes
503	Service unavailable.	No

Common Error Response JSON

Field	Type	Mandatory	Description
Code	Number	Yes	HTTP Status Code. See above
Messages	List <String>	Yes	One or more error messages

6. How to validate JWT response of API?

Ans. By using following link: -

https://www.devconnect2nse.com/memgw/memgw_help.jsp

Paste the link and you will find below page, afterwards you need to click on highlighted link: -

Page number 1

Once you click on highlighted link you will find below page.

Page number 2

Once you find below page, you just need to update requested details and click on generate JWT, afterwards you will get JWT token, and you may also verify JWT token by clicking on Verify JWT option as mentioned in the bottom.

MEMGW API HELP

Click here for help on integrating the member APIs.

JWT Tool for generating and verifying JWT

Subject (sub):	CM_12345
Audience (aud):	NCL
Issued At (iat):	1711618061052 — Set Current Time | Parse Time
UPIX API (upixApi):	POST_/v1/request/blockrelease
API HMAC Key (Base64 encoded):	— Generate Random
JWT:	
	Generate JWT

JWT:	— Copy from above
API HMAC Key (Base64 encoded):	— Copy from above
Header:	
Payload:	— Parse IAT
Signature Valid:	
	Verify JWT

In case the request has been processed by the UPI App, but the customer has declined the transaction due to some reason. Then how to define error reason codes?

Ans. List of NPCI error code and Response codes wherein the Status Code shall be used between the CC and Sponsor Bank to use as a bucket under the UPI error codes

and Response codes. Kindly refer following circular: - NCL/CMPT/59374 & NCL/CMPT/58896.

7. Can we inquire NCL APIs with any public Ips?

Ans. No, Inquire NCL APIs should be initiated via public Ips which are whitelisted at NCL end.

8. If our member type is Self-clearing member then in Json request, does the member need to update same member id in TmCd and CmCD field?

Ans. Yes.

9. How will CC debit the block balance in case of any outstanding obligations for a client in UAT?

Ans. In UAT CC has facility to create obligation against the block. Let's take an example: If existing block value is Rs. 1000 and obligation value is Rs. 2000. In this case Rs. 1000 partially will be debited from the existing block and when new block will be created under the same UCC then remaining Rs. 1000 will be debited from the new block. Then member will receive response from CC as "U" (it means utilized) meanwhile inquiring block create API.

10. Will the settlement process be executed by CC in UAT? If so, what are the timings for this process in the UAT?

Ans. No. Settlement process shall be executed in Live environment only.

11. Will CC share the EOD files for UAT obligations, as shared in the live environment?

Ans. No EOD files of UAT environment shall not be made available, as UAT is provided to check connectivity related testing only, such as Creation of block mandate, Release of block mandate & checking notification connectivity in between CC, TM and Sponsor bank.

12. Will CC maintain the blocks created on UAT?

Ans. Yes, CC shall maintain the records of block created and release mandates on UAT environment.

-------End-------